

Please type a plus sign [+] inside this box

09-28-01

A

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No.	IN-5501
First Named Inventor	Ali RIHAN et al.
Filing Date	Thursday, September 27, 2001
Title	Fast Drying Clearcoat Refinish Composition
Express Mail Certificate	Ek894924026US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application, Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 27]  
-(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross References to Related Application  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the invention  
- Background of the invention  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4. ☐ Drawing(s) (35 U.S.C.113) [Total Sheets ]
5. ☒ Oath or Declaration [Total Sheets 3]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR § 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper
- c. ☐ Statements verifying identify of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR§3.73(b) Statement (when there is an assignee) ☒ Power Of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/ PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically Itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 0 filed on \_\_\_\_\_  
Prior application information: Examiner Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

or ☐ Correspondence address below



26922

PATENT-TRADEMARK OFFICE

Country USA Telephone (248) 948-2 Fax (248) 948-2093

Name (print Type) Anne Gerry Sabourin Registration No. (Attorney Agent) 33,772

Signature Anne G. Sabourin Date September 27, 2001

<b>FEE TRANSMITTAL</b> Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997	Attorney Docket No.	IN-5501
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<b>TOTAL AMOUNT OF PAYMENT</b>	<b>\$768.00</b>
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<b>METHOD OF PAYMENT</b>	<b>FEE CALCULATION</b>
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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to change indicated fees and credit any over payments to:	<b>3. ADDITION FEES</b>
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Deposit Account Number <b>23-3425</b> Deposit Account Name <b>BASF Corporation</b> <input checked="" type="checkbox"/> Change Any Additional Fee <input checked="" type="checkbox"/> Charge the Issue Fee Set in 37 CFR § 1.16 and 1.17 1.18 at the Mailing of the Notice of Allowance 2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other	<table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>Surcharge -late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>provisional ailing or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>For filing request for examination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890.</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141</td><td>1,320</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142</td><td>1,320</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>Petition to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>Petition related to provisional application</td><td></td></tr> <tr><td>126</td><td>240</td><td>Submission of information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>Recording each patent Assignment per property (time number of properties)</td><td>\$40.</td></tr> <tr><td>146</td><td>790</td><td>Filing a submission after final rejection</td><td></td></tr> <tr><td>149</td><td>790</td><td>For each additional invention to be examined (37 CFR 1.129(b)) (specify)</td><td></td></tr> <tr><td>Other</td><td>fee</td><td>Reduced By Basic Fee Paid Filing</td><td>\$40.</td></tr> </tbody> </table>	Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	Surcharge -late filing fee or oath		127	50	provisional ailing or cover sheet		139	130	Non-English specification		147	2,520	For filing request for examination		112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	Requesting publication of SIR after Examiner action		115	110	Extension for reply within first month		116	400	Extension for reply within second month		117	890.	Extension for reply within third month		118	1,510	Extension for reply within fourth month		128	2,060	Extension for reply within fifth month		119	310	Notice of Appeal		120	310	Filing a brief in support of an appeal		121	270	Request for oral hearing		138	1,510	Petition to institute a public use proceeding		140	110	Petition to revive-unavoidable		141	1,320	Petition to revive-unintentional		142	1,320	Utility issue fee (or reissue)		143	450	Design issue fee		144	670	Plant issue fee		122	130	Petition to the Commissioner		123	50	Petition related to provisional application		126	240	Submission of information Disclosure Statement		581	40	Recording each patent Assignment per property (time number of properties)	\$40.	146	790	Filing a submission after final rejection		149	790	For each additional invention to be examined (37 CFR 1.129(b)) (specify)		Other	fee	Reduced By Basic Fee Paid Filing	\$40.
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<b>FEE CALCULATION</b>
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<b>1. BASIC FILING FEE</b> Large Fee Code    Entity Fee (\$) 101                  710                  Utility filing fee <b>\$710.00</b> 106                  330                  Design filing fee <b></b> 107                  540                  Plant filing fee <b></b> 108                  790                  Reissue filing fee <b></b> 114                  150                  Provisional filing fee <b></b> <div style="text-align: right;">SUBTOTAL (2)    <b>\$710.00</b></div>
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<b>2. EXTRA CLAIM FEES</b>
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Total Claims <b>21</b> -20** = <b>01</b> x <b>18</b> = <b>\$18.00</b> Independent Claims <b>03</b> -3** = <b>0</b> x <b>80</b> = <b></b> Multiple Dependent <b>270</b> = <b></b> *Or number previously paid, if greater; For Reissues, see below <table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>Multiple dependent claims, if not paid</td></tr> <tr><td>109</td><td>82</td><td>**Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>22</td><td>**Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table> <div style="text-align: right;">SUBTOTAL (2)    <b>\$18.00</b></div>	Large Fee Code	Entity Fee (\$)	Description	103	18	Claims in excess of 20	102	80	Independent claims in excess of 3	104	270	Multiple dependent claims, if not paid	109	82	**Reissue independent claims over original patent	110	22	**Reissue claims in excess of 20 and over original patent	<table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>Surcharge -late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>provisional ailing or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>For filing request for examination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890.</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,510</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>2,060</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141</td><td>1,320</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142</td><td>1,320</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>Petition to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>Petition related to provisional application</td><td></td></tr> <tr><td>126</td><td>240</td><td>Submission of information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>Recording each patent Assignment per property (time number of properties)</td><td>\$40.</td></tr> <tr><td>146</td><td>790</td><td>Filing a submission after final rejection</td><td></td></tr> <tr><td>149</td><td>790</td><td>For each additional invention to be examined (37 CFR 1.129(b)) (specify)</td><td></td></tr> <tr><td>Other</td><td>fee</td><td>Reduced By Basic Fee Paid Filing</td><td>\$40.</td></tr> </tbody> </table>	Large Fee Code	Entity Fee (\$)	Description	Fee Paid	105	130	Surcharge -late filing fee or oath		127	50	provisional ailing or cover sheet		139	130	Non-English specification		147	2,520	For filing request for examination		112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	Requesting publication of SIR after Examiner action		115	110	Extension for reply within first month		116	400	Extension for reply within second month		117	890.	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<b>18. CORRESPONDENCE ADDRESS</b>
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<input checked="" type="checkbox"/> Customer Number or Bar Code Label	<input type="checkbox"/> Correspondence address below
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**26922**  
 PATENT-TRADEMARK OFFICE

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin		Registration No. (Attorney Agent)	33,772	
Signature	<i>Anne G. Sabourin</i>		Date	September 27, 2001	

PATENT

(Practitioner's Docket No. IN-5501)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ali RIHAN  
Emerson Keith COLYER

US Serial No. Herewith

Filed: September 27, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: FAST DRYING CLEARCOAT REFINISH COMPOSITION

Patent\*: Issue Date  
Reexamination No.: Issue Date  
Reissue: Issue Date

\*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20.231

STATEMENT UNDER 37 C.F.R. § 3.73(b)-  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\*  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10\*

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"  
Mailing Label No: **EK 894924026US** (mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: September 27, 2001

Signature

Marjorie Ellis

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

**IDENTIFICATION OF ASSIGNEE**

BASF CORPORATION

2. \_\_\_\_\_  
Name of assignee  
CORPORATION

\_\_\_\_\_  
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

**PERSON(s) AUTHORIZED TO SIGN**

3. Anne Gerry Sabourin, 33,772  
(type name of person authorized to sign on behalf of assignee)  
Managing Counsel

\_\_\_\_\_  
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

**BASIS OF ASSIGNEE'S INTEREST**

Ownership by the assignee is established as follows:

A.

1. ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_.

2. ☒ An assignment (document) separately being submitted for recordal herewith.

**AND/OR**

B.

1. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)

To: \_\_\_\_\_

Recorded in PTO:  
Reel \_\_\_\_\_ Frame \_\_\_\_\_

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

☐ 1

☐ 2

☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No.: 33,772

  
\_\_\_\_\_  
SIGNATURE OF ATTORNEY

**Anne Gerry Sabourin**  
\_\_\_\_\_  
Type or print name of attorney

**BASF Corporation**  
**26701 Telegraph Road**  
\_\_\_\_\_  
P.O. Address

**Southfield, Michigan 48034-2442**  
\_\_\_\_\_

Tel. No.: ( 248 ) 948-2021

Customer No. 26922

26922 948-2021 33772

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For. FAST DRYING CLEARCOAT REFINISH COMPOSITION

Assistant Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EK894924026US Date of Deposit September 27, 2001

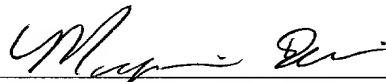
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10/22/01 14:44:36

PATENT

(Practitioner's Docket No. IN-5501)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ali RIHAN  
Emerson Keith COLYER

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: September 27, 2001

Examiner: Not Assigned

For. FAST DRYING CLEARCOAT REFINISH COMPOSITION

Assistant Commissioner of Patents  
Washington, D.C. 20231

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I hereby certify that the following attached paper or fee

☒ Application  
Specification on 

21
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 pages; claims on 

05
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 pages;  
the abstract on 

01
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 page(s); drawings on 

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 page(s).

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